



UNITED STATES MARINE CORPS
MARINE CORPS BASE
QUANTICO, VIRGINIA 22134-5001

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MARINE CORPS BASE BULLETIN 12430

From: Commander

To: Distribution List

Subj: FISCAL YEAR 2005 PERFORMANCE APPRAISALS AND AWARDS

Ref: (a) MCO 12430.2

(b) DoD 1400.25-M, subchapter 451

(c) DON Implementation Guide 451-00

- Encl: (1) Model Critical Job Elements and Related Performance Standards for Supervisors/Managers
(2) Guidance for Performance Cash Awards
(3) Guidance for Quality Step Increase
(4) Guidance for Time Off Awards
(5) Format for Submitting Award Nominations

1. Purpose. To provide criteria for granting performance-based awards to MCCDC/MCB civilian employees for the 2004-05 performance appraisal period.

2. Information. Per the references, provide overall policy and procedural guidance for completing performance appraisals and recognizing performance of civilian employees. The following additional restrictions apply with respect to MCCDC/MCB civilian employees, including employees who are paid with reimbursable funds for the 2004-05 appraisal period. Bargaining obligations have been fulfilled with respect to the restrictions in this bulletin.

3. Completion of Annual Performance Appraisals

a. The appraisal period for most employees ends 30 June 2005. In no case may an appraisal period end sooner than 90 calendar days from the date the employee signed his/her performance plan. If performance elements and standards were added or modified after the date the employee signed the performance plan, the employee may not be rated against the new or modified standards unless the employee has had the opportunity to perform for at least 90 days under the new or modified standards. Completed appraisals must be submitted to Human Resources and Organization Management (HROM) (attn: Ms.

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Julie Burton) not later than 29 July 2005. If you are unable to meet this deadline, please notify the AC/S G-1 and HROM to advise of the date the appraisals will be submitted.

b. The appraisal form, NAVMC 11408 United States Marine Corps, Performance Appraisal Review System, must be fully completed, including the items discussed below:

(1) Each element on the form must be rated as "A" (for acceptable performance) or "U" (for unacceptable performance), and an overall rating of "acceptable" or "unacceptable" must be shown on the form. Rating supervisors may not rate an employee as "unacceptable" unless the employee has first been notified in writing of unacceptable performance and has been provided with a reasonable period to improve performance to the acceptable level. To ensure all legal and regulatory requirements pertaining to ratings of "unacceptable" are met rating officials must contact the HROM for assistance in dealing with unacceptable performance.

(2) Supervisors are encouraged to include comments on the form so as to provide each employee with information as to performance strengths, weaknesses, and specific accomplishments during the appraisal period. Since the performance appraisal is used as a basis for awards, it is especially important to include, in the comments section of the form, the employee's accomplishments that serve as the basis for an award recommendation.

(3) The section on the form pertaining to the Civilian Leadership Development (CLD) Program must be completed. The CLD Program applies to all civilians in grades GS-7 to GS/GM-15 and equivalent.

c. Completed appraisals (i.e., appraisals signed and dated by the employee and the rating official) must be distributed as follows: the original appraisal must be submitted to the HROM, a copy of the appraisal must be provided to the rated employee, and the rating official retains a copy.

4. Performance Plans for the 2005-06 Rating Period

a. Performance plans must be established using NAVMC 11408, available through FormFlow. Even if the performance elements and standards remain the same, a new NAVMC must be executed for the 2005-06 rating period.

b. Per reference (a), performance plans must include a minimum of two critical elements covering work performance. For employees who work in teams, at least one element must address the employee's

individual performance as a member of the team. For supervisors and managers, at least one critical element must be included for each supervisory or managerial responsibility, to include Equal Employment Opportunity. Model standards for supervisors/managers per enclosure (1). Additional sample elements and standards may be found in reference (a).

c. Employees must be encouraged and given the opportunity to participate in the development of performance plans.

d. Rating officials must ensure that employees are given a copy of their performance plans. The supervisor must retain the original form for the subsequent progress review and end of year appraisal. There is no need to send a copy of each performance plan to HROM.

e. The employee's position description must be certified as to whether it is current and accurate. If the answer to the question on the appraisal form is "No", the supervisor is required to rewrite the position description within 60 days.

5. Award Eligibility

a. Cash Award. See enclosure (2).

(1) Employee must be rated "acceptable" and performance appraisal must reflect a level of performance significantly above that which is expected at the "acceptable" level on a regular or continuing basis.

(2) Employee must have been in same position at same grade for 6 months as of the end of the appraisal period.

(3) Division directors may request a waiver to the policy specified in paragraph 5a(2). Address waiver requests to the Civilian Manpower Resources Review Board (CMRRB) in writing and fully explain the reasons why requesting a waiver. Waiver requests must reflect the length of time the employee has been in the position. All waiver requests must be submitted to the CMRRB no later than 15 August 2005 so that, if granted, the award can be included in the percentage calculations addressed in paragraph 6b(3).

(4) Chiefs of staff/division directors are authorized to approve cash award recommendations. When Chiefs of staff (division directors, as applicable) do not approve a cash award, the recommending supervisor must be notified in a timely manner so that the supervisor can recommend or request an alternate award or waiver, as appropriate.

(5) Final approval must be endorsed by the chief of staff when a division director serves as the rater or immediate supervisor.

b. Quality Step Increase (QSI). See enclosure (3).

(1) Employee must not have received a QSI within the prior 52-week period.

(2) Employee must be rated "acceptable" and appraisal must reflect sustained performance of a high quality significantly above that which is expected at the "acceptable" level. The employee must have made a significant contribution to the organization's mission and there must be an expectation that the high quality performance will continue.

(3) Employee must have been in the same position at the same grade for 6 months as of the end of the appraisal period. Waivers to this policy may be requested as set forth in paragraph 5a(3).

(4) Chiefs of staff/division directors are authorized approval authority for QSIs.

(5) Final approval must be endorsed by the chief of staff when a division director serves as the rater or immediate supervisor.

(6) Approving officials will carefully review all QSI recommendations to ensure they are awarded only to those employees whose performance: (a), has significantly exceeded that expected at the "acceptable" level and, (b), has materially contributed to the fulfillment of the organization's mission.

c. Time Off Award. Time off awards of 9 hours or less may be approved by an employee's immediate supervisor; time off awards of more than 9 hours must be approved by the chiefs of staff/division directors. See enclosure (4).

d. Other Instructions

(1) Employees may not receive both a cash performance award and a QSI for the same appraisal period.

(2) Time off awards may be given alone, or in addition to, a cash award or QSI.

6. Procedures for Processing Awards

a. General. Subordinate supervisors must use the format in the enclosure (5) to submit individual award recommendations to the

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division director (or chief of staff, as applicable). The enclosures will be annotated by the approving officials to show approval/disapproval of the award recommended and returned to the recommending official. A copy of the award recommendation, showing the appropriate approvals, must be provided to HROM for maintenance in the Employee Performance File. All Request for Personnel Actions (RPA) for QSIs and time off performance awards will be forwarded to the AC/S G-1 inbox "ESTAHGB00264G1Group." Cash award recommendations will be processed by the AC/S G-1 upon receipt of the approved listing from the comptroller's office.

b. Cash Awards

(1) Chiefs of staff/division directors will submit a list of employees names (listed alphabetically) who have been approved to receive a cash award along with the approved justifications to the AC/S G-1. This list must be forwarded to the AC/S G-1 by 23 August 2005. The list will be annotated to reflect employees paid with reimbursable funds.

(2) The AC/S G-1 will verify with HROM that performance appraisals have been received and will promptly notify chief of staffs/division directors of the names of employees recommended for an award for whom an appraisal has not been received. By 19 September 2005, the AC/S G-1 will forward the list to the Director, Comptroller Division for action. Chiefs of staff/division directors must ensure that performance appraisals for employees listed have been submitted to HROM so that verification of eligibility for a cash award can be completed in a timely manner.

(3) Upon receipt of the list, the Director, Comptroller Division will determine award amounts based on a percentage of the employee's rate of basic pay. The award percentage will be the same for all employees, and will range from 0% to 10% of the employee's rate of basic pay.

(4) The Director, Comptroller Division, will provide the AC/S G-1 and the chiefs of staff/division directors with the list of employees approved for cash awards, award amounts and the earliest effective date of the awards.

(5) The AC/S G-1 will process all approved cash awards by submitting an electronic RPA to the Human Resources Service Center-East (HRSC-E).


c. Quality Step Increase. Divisions will process QSIs by submitting an RPA to the AC/S G-1 inbox no later than 4 September 2005. RPA must include an attached copy of the award justification

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approval. QSIs will be made effective not earlier than 2 October 2005. QSIs will not be processed by the HRSC-E unless a current performance appraisal has been completed and submitted to the HROM.

d. Time Off Awards. Divisions/commands will process time off awards by submitting a Group Time Off Award RPA to AC/S G-1 Modern inbox "ESTAHGB00264G1group." The RPA must include an excel spreadsheet as an attachment. The spreadsheet should reflect the employee name, SSN, org code, work center, and the number of award hours approved. There is no set effective date for time off awards. Time off awards may be forwarded for processing as they are received.

7. Action. Chiefs of staff/division directors are responsible for prompt dissemination of this bulletin to ensure rating officials are knowledgeable of the award process.


R. J. ABBLITT
Chief of Staff

DISTRIBUTION: A

MODEL CRITICAL JOB ELEMENTS AND RELATED PERFORMANCE STANDARDS
FOR SUPERVISORS/MANAGERS

1. Critical Job Element. *Acceptable Supervision and Development of Subordinate Staff Performance*—Prepares performance plans within 30 days of the beginning of the appraisal period. Established standards must be achievable and challenging. Provides fair, accurate, and timely evaluations of performance at the end of each rating period. Provides effective direction, feedback (including required performance progress review) and opportunities for the development of subordinates in a manner designed to increase effectiveness, productivity, quality of performance and potential for advancement. Reviews, and updates as needed, position descriptions annually and at other times as directed. Identifies training needs of subordinates, and establishes training plans on an annual basis. Ensures that eligible employees are informed of the Civilian Leadership Development Program and are encouraged to fully participate in the program. Considers a broad spectrum of employee recognition devices to reward and recognize deserving employees. Takes immediate and appropriate steps to deal with employee misconduct or deficient performance. Maintains familiarity with provisions of the Master Labor Agreement and complies with its provisions. Provides timely technical guidance to subordinates to support accomplishment of tasks or objectives and establishes internal systems to monitor progress against goals and objectives. Keeps supervisor informed, in a timely manner, of problems that arise (or which may arise) in area of responsibility and provides well-reasoned recommendations to resolve identified problems.

2. Critical Job Element. *Acceptable Leadership Performance*—Develops and maintains sound working relationships with internal and external customers. Takes positive steps to promote trust, teamwork and cooperation within staff. Effectively manages change and takes positive steps to cope with fear, anxiety, and stress which may occur as a result of change. Encourages and solicits ideas from subordinate staff for improvements in efficiency and effectiveness of the organizations. Conducts regular staff meetings to keep staff informed of goals, objectives, decisions, and changing priorities. Conducts himself/herself in a professional manner at all times, setting an appropriate example for coworkers and subordinates alike.

3. Critical Job Element. *Acceptable Equal Employment Opportunity (EEO) Performance*—Attends annual EEO training. Understands and applies EEO principles in the course of performing all position responsibilities. This includes work assignments, performance

ENCLOSURE (1)

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reviews, discipline, awards, and selection for promotion and filling vacancies. Participates in, and encourages staff to participate in, special EEO events. Takes effective actions to identify and eliminate potential causes for EEO complaints and complaints of sexual harassment. Complies with applicable law, regulation, and policy with respect to reasonable accommodation requests.

4. Critical Job Element. Acceptable Safety and Health Performance- Ensures a safe and healthy work environment is maintained for employees. Ensures that protective safety equipment is available and used by employees. Reminds subordinates periodically (at least once per month) of the need to follow applicable workplace safety and health requirements and takes immediate action when safety or health established procedures are not followed. Attends required safety training. Adheres to established procedures when accidents and on-the job injuries occur and cooperates in keeping injured employees gainfully employed. Ensures that all safety related reports are properly completed and submitted in accordance with applicable directives.

ENCLOSURE (1)

GUIDANCE FOR PERFORMANCE CASH AWARDS

1. General Information. A performance cash award is a lump-sum award based on an employee's annual performance rating of record and is designed to motivate employees by recognizing and rewarding high levels of performance.
2. Eligibility. All GS, GM, and Wage System employees are eligible for a cash award. Payment of a cash award is not mandatory under any circumstance, and failure to grant an award is not grievable under the negotiated or administrative grievance procedures.
3. Criteria for Granting Cash Awards. Overall performance must be "acceptable" and the appraisal must reflect a level of performance significantly above that which is expected at the acceptable level on a regular and continuing basis.
4. Approval of Cash Awards. Chiefs of staff/division directors are authorized to approve recommendations for cash awards of \$5,000 or less. CMC approval is required for awards of \$5,001 to \$7,500. Secretary of the Navy approval is required for cash awards of \$7,501 to \$10,000.
5. Payment of Awards
 - a. Employees may receive awards of up to 10% of the employee's rate of basic pay. Awards in excess of 10% (but not greater than 20% of basic pay) must have a separate justification that clearly and fully documents unusually outstanding performance achievements and must be approved by the Secretary of the Navy.
 - b. Specific award amounts may be established by commanders/activity heads within the ranges noted above. Chiefs of staff/division director may issue yearly command policy for how this will be accomplished.

ENCLOSURE (2)

GUIDANCE FOR QUALITY STEP INCREASE

1. General. Quality Step Increase (QSI) are increases to base pay that are designed to recognize employees for extraordinarily outstanding performance during a rating period. The payment of a QSI affects not only salary but also affects the government's contribution to fringe benefits. Careful consideration must be given before granting a QSI.

2. Eligibility. All GS and GM employees are eligible for QSI. Payment of a QSI is not mandatory under any circumstance.

3. Criteria for Granting a Quality Step Increase

a. The employee's annual rating of record must be "acceptable" and the appraisal must reflect sustained performance of a high quality significantly above that which is expected at the acceptable level. The employee must have made a contribution to the organization's mission and there must be an expectation that the high quality performance will continue.

b. The employee must not have received a QSI in the prior 52 weeks.

4. Approval of Quality Step Increase. Chiefs of staff/division directors are authorized to approve QSIs.

5. Relationship Of Quality Step Increases to Within-Grade Increase. When deciding whether to recognize performance with either a QSI or a performance-based cash award, rating officials should consider whether the granting of a QSI will place the employee at the step 4 or step 7 of the grade. Since these steps put employees in longer waiting periods for within-grade increase, it may be more advantageous to the employee to be recognized with a cash performance award or time off award. Contact the Human Resources and Organization Management for assistance in determining the impact of a QSI that places the employee in step 4 or step 7.

GUIDANCE FOR TIME OFF AWARDS

1. General. A time off award is designed to recognize superior accomplishments of employees with time off from duty, without a loss of pay or charge to leave. A time off award may be based on sustained high level performance or may be based on accomplishments that are similar in nature to those recognized with Special Act awards.

2. Eligibility. All civilian employees are eligible for a time off award.

3. Criteria for Granting Time Off Award. Time off awards may be used alone or in combination with other awards to recognize employee contributions as follows:

a. Making a high quality contribution involving a difficult or important project or assignment;

b. Displaying special initiative and skill in completing an assignment or project before the deadline;

c. Ensuring, or helping to ensure, that the mission of the unit is accomplished during a difficult period by completing additional work over and above usual duties;

d. Using initiative or creativity by making improvements in a product, activity, program, or service; and

e. Sustaining a high level of performance for an extended period of time.

4. Approval of Time Off Award

a. A time off award of one day or less may be approved by the immediate supervisor, without further review and approval. A time off award in excess of one day must be approved by an individual at a higher level than the one making the initial award determination.

b. All time off awards including those based on sustained high level performance, must be supported by a written justification which fully describes the achievements upon which the time off award is based and which explains how the number of time off award hours were determined.

ENCLOSURE (4)

5. Limitations on Time Off Awards

a. A maximum of 40 time off award hours may be granted for a single contribution and a maximum of 80 hours may be granted in any one leave year. Part-time employees and employees with uncommon tours of duty (such as firefighters) may also receive time off awards. The total number of time off hours that such an employee may be granted in a leave year is the average number of hours of work the employee is scheduled to work in a bi-weekly period. The total number of hours that such employees may be granted for a single contribution is 1/2 the average number of hours of work in a bi-weekly pay period.

b. Time off awards must be used within one calendar year from the date of approval. Any hours not taken within one calendar year will be forfeited and will not, under any circumstance, be converted to cash or restored to the employee. Further, time off may not be transferred between DoD components, to another federal agency, or to another employee under the Voluntary Leave Transfer Program.

6. Determining Time Off Award Amounts

a. The time off award table is the suggested method to determine time off award amounts.

b. When determining whether to grant a time off award, also consider whether the employee currently has "use or lose" annual leave available. Since a time off award may not be converted to cash under any circumstance, it may not be in the best interest of the employee or the organization to approve time off award for employees who have significant amounts of use or lose leave.

TIME OFF AWARD TABLE*	
VALUE TO THE ORGANIZATION	NUMBER OF TIME OFF AWARD HOURS
MODERATE: A contribution to a product, activity, program or service which is of sufficient value to warrant formal recognition or a beneficial change or modification of operating principles or procedures	1 to 10
SUBSTANTIAL: An important contribution to the value of a product, activity program or service to the public or a significant change in operating principles or procedures	11 to 20
HIGH: A highly significant contribution to the value of a product, activity, program or service to the public or a complete revision of operating principles or procedures with considerable impact	21 to 30
EXCEPTIONAL: A superior contribution to the quality of a critical product, activity, program, or service to the public or initiation of a new principle or major procedure with significant impact	31 to 40

- * This scale applies to full time employees with standard 80-hour tours of duty. For assistance in determining time off award amounts for other employees, please contact Human Resources and Organizational Management-Quantico.

FORMAT FOR SUBMITTING AWARD NOMINATIONS

From: Recommending Official (Rating Official)
To: Approving Official (Chief of Staff, Division Director, or
as applicable)
Via: (Branch Head or equivalent)
Subj: AWARD NOMINATION

1. I nominate _____ for:

☐ Cash Award

☐ Quality Step Increase (QSI)

☐ Time Off Award of _____ hours

2. Describe the performance/accomplishments warranting recognition with the award recommended. For QSI recommendations, include a description of how the employee significantly contributed to the organization's mission. Attach additional sheets if needed.

3. I certify the employee has met all eligibility requirements for the award recommended.

Signature of Recommending Official

Date

4. Approvals:

☐ Approved

☐ Disapproved

☐ Other award
recommended:

Signature of Branch Head or Equivalent

Date

☐ Approved

☐ Disapproved

☐ Other award
approved:

Signature of Division Head or Chief of
Staff

Date

ENCLOSURE (5)